NETCLRC18

ACADEMY PLANNING ASSISTANCE PROGRAM

Guidelines

UNITED STATES DEPARTMENT OF COMMERCE

National Fire Prevention and Control Administration
National Academy for Fire Prevention and Control

Washington, D.C. 20230

Revised October, 1977

FOREWORD

Fire service personnel are in the business of saving lives, preventing injuries, and reducing economic losses. It is a dangerous occupation. But the majority of those engaged in fire prevention and control find it a rewarding and worthwhile profession, despite the risks.

Fire service personnel, not their critics, are the ones asking for improved education and training. They, better than anyone else, realize that their education and training can make the difference between life and death—for themselves as well as for their fellow citizens.

This is what the National Academy for Fire Prevention and Control is all about. Our main purpose is to advance the professional development of fire service personnel and of others engaged in fire prevention and control activities. The Academy, as part of the National Fire Prevention and Control Administration, is committed to involving states and local governments in a partnership role for this common purpose.

The Academy Planning Assistance Program is one example of this partnership relationship. Through this program, the Academy will provide assistance to individual states to help plan the development of a more coordinated and effective system for improving education and training for fire service personnel and others throughout the state. While improvement in fire suppression activities is essential, at least equal consideration must be given to fire prevention under this planning assistance program.

These guidelines have been prepared to describe the Academy Planning Assistance Program and to tell how to apply for funding from the Administration for planning assistance. We are beginning now to assist those who are interested in improving fire education and training throughout the state. We are counting on your cooperation and support in our efforts to advance the professionalism and effectiveness of fire safety personnel throughout the nation.

Howard D. Tipton

Howard D. Tipton
Administrator
National Fire Prevention
and Control Administration

I. AUTHORITY

Section 7(f) of the Federal Fire Prevention and Control Act of 1974 (Public Law 93–498) authorizes the National Fire Prevention and Control Administration to provide assistance to state and local fire service training programs through grants, contracts or otherwise.

II. PURPOSE

The purpose of the National Fire Prevention and Control Administration's state and local assistance programs is to advance the development of fire prevention and control activities. This purpose is consistent with one of the stated purposes of the Act: "to supplement existing programs of research, training, and education, and to encourage new and improved programs and activities by State and local governments." The National Fire Prevention and Control Administration's Academy Planning Assistance Program is designed to provide financial assistance to individual states to enable them to identify and coordinate existing education and training resources; to assess education and training needs throughout the state; and finally to develop a statewide fire education and training plan designed to effectively and efficiently meet these needs.

III. OBJECTIVES

The Academy Planning Assistance Program has four major objectives:

A. To encourage the development of a coordinated system for improving education and training for fire service personnel and others involved in fire safety throughout the state.

B. To help those responsible for providing fire education and training to identify current and projected needs that can be met more effectively and efficiently through the coordination of existing resources, and at the same time, to identify those education and training needs not likely to be met with current and anticipated resources from within the state.

C. To assist the National Fire Prevention and Control Administration in anticipating future fire education and training needs by identifying education and training programs which the Academy can develop and provide throughout the nation.

D. To enable the National Fire Prevention and Control Administration, through its planning assistance guidelines, to encourage those responsible for improving fire education and training throughout the state to address education and training needs considered to be of national priority and importance—such areas as public fire education, administration and management of fire prevention and control, building inspection, code enforcement and fire and arson investigation.

IV. DESCRIPTION

The Academy Planning Assistance Program is a two-part program of financial assistance for individual states. No matching funds are required on the part of participating states. The two parts of the planning assistance program are: the Statewide Organizational Design and the Statewide Fire Education and Training Plan.

A. STATEWIDE ORGANIZATIONAL DESIGN

The organizational design for statewide fire education and training is intended to be a document which describes the organizational network or system through which education and training is being developed and provided for fire personnel and for others engaged in fire prevention and control throughout the state.

The document will identify and describe the responsibilities and major activities of the various organizational entities that make up the fire education and training network throughout the state; it will also describe the relationships that exist, or ought to exist, among the various organizational entities and, where necessary, will more clearly define responsibilities and clarify roles. The Statewide Organizational Design will identify a representative entity within the state to be responsible for coordinating the on-going development of improved education and training.

The Statewide Organizational Design will not only reflect the various responsibilities and roles of those engaged in fire education and training, it will also encourage the coordination and cooperation of these resources toward a common purpose: the improved education and training of those involved in fire pre-

vention and control throughout the state. Such a document will serve to uncover unnecessary duplication of efforts or gaps in the education and training network. With responsibilities specifically defined among the various fire education and training organizations and agencies, those clearly accountable for specific portions of fire education and training will be encouraged to improve the quality of their education and training services and make them more widely available.

A statewide organizational design should take into account every organizational entity that is actively engaged in the education or training of fire service personnel and others involved in fire safety throughout the state. This will include fire agencies themselves, whether local, regional, state, federal or private, which either operate, conduct or share in education or training programs for their personnel.

The Organizational Design will include universities, colleges and community colleges, vocational technical schools and other educational or training organizations—whether local, regional, state, federal or private—involved in the professional or career development of fire service personnel or others engaged in fire prevention and control activities within the state. It will involve all levels of fire service training—basic, in-service and specialized; and it will involve the various levels of educational offerings—non-credit, accredited and degree programs. The design should also inventory the responsibility, authority and functions of state agencies having fire prevention and control missions. These agencies may be a resource or recipient of fire education and training or have responsibility in fire education and training.

Finally, it will involve those officials, organizations or agencies having responsibilities for setting entrance and promotional standards, certification or accreditation, testing or evaluation, and the planning and/or coordination of improvements in fire education and training throughout the state.

The Statewide Organizational Design, both in its development and as a finished document, should be the result of a cooperative effort by representatives of these various entities.

Among those who should have a representative voice in determining the Statewide Organizational Design, in defining major responsibilities, and in establishing priorities and goals for improving the statewide education and training network would be: representatives of the fire service profession—paid and volunteer; labor and management; fire prevention representatives; representatives of the university, college and community college system; representatives of the vocational technical education programs; representatives of state and local governments, urban areas of the state as well as rural; representatives from the general citizenry and other appropriate private organizations such as the insurance industry, or public agencies such as civil service and community development.

The Statewide Organizational Design, as a finished document, will contain four major parts:

1. **General**—identifying and describing the fire education and training network as it exists throughout the state, making policy statements and establishing general goals regarding the system and its improvement.

2. **Physical Design of the System**—including a clear definition of all the components of the system, their major responsibilities and an organizational chart depicting the interrelationships of the various entities of the statewide fire education and training network.

3. **Detailed Description of the Components**—stating in more specific terms the major responsibilities, the roles and the major functions and activities of each of the components of the statewide fire education and training network.

4. **Planning Entity and Advisory Group**—identifying a planning entity within the state responsible for coordinating the development and production of the Statewide Fire Education and Training Plan. This planning entity must be responsive to the various organizations, agencies and interest groups expected to participate in or be affected by the plan. These groups may be included as an integral part of the planning entity itself or they may function collectively in the form of a special advisory group.

B. STATEWIDE FIRE EDUCATION AND TRAINING PLAN

The development of a comprehensive five-year plan for improving fire education and training throughout the state will result in a planning document which provides an accurate and up-to-date review of the existing situation —in this case, a review of the fire education and training being offered to fire service personnel and to others engaged in fire prevention and control activities. It will be an assessment, again from a statewide perspective, of the educational and training network and its delivery system to determine in what areas (programmatic or geographic) the fire service education and training is adequate and, more importantly, where it is not adequate.

The statewide plan will involve establishing priorities for improving education and training opportunities for fire personnel throughout the state. It will also involve developing a long-range strategy through which available and anticipated resources can most effectively and efficiently be mobilized to implement priority programs.

A Statewide Fire Education and Training Plan, if it is comprehensive and representative, will provide those responsible for improving fire education and training throughout the state with a much clearer understanding of education and training needs, both current and projected. They will discover how, through better coordination and increased cooperation, many of these needs can be met more effectively and efficiently.

A statewide fire education and training plan should take into account every organizational entity that is actively engaged in the education and training of fire personnel throughout the state, as described earlier under the Statewide Organizational Design. In addition, it should take into account long-range needs as well as current needs. It should identify those additional resources beyond personnel and funding that will be needed to successfully implement priority programs—such resources as new curricula, needed legislation, reorganization, new cooperative agreements, etc.

The Statewide Fire Education and Training Plan, both in its development and as a finished product, should be the result of a cooperative assessment of needs and cooperative determination of priority programs, involving representatives of the various public, professional and private interest groups whose acceptance and support will be required to successfully implement the statewide plan. At a minimum, the variety of representatives suggested for development of a Statewide Organizational Design would also be utilized to participate in the development of a statewide plan.

As a finished document, the Statewide Fire Education and Training Plan will contain five major parts: a General Overview, a Description of the Existing Situation, Priority Statements regarding needed improvements, a Five-Year Development Strategy, and Relationship with Other State Fire Programs.

The following paragraphs summarize the five major parts of a comprehensive and representative statewide fire education and training plan, the "deliverable" of the grant award.

1. General Overview

This is a general informational section and should cover the following areas:

(a) The state's population distribution with emphasis on major urban and metropolitan areas.

(b) An accurate description of the fire safety population throughout the state—by personnel and department—whether municipal, county, regional, state, federal, special or private. What percentage is paid personnel? What percentage is volunteer?

(c) A summary of state legislation and local standards affecting recruitment, training, promotion, career development of fire service personnel.

(d) A summary of student subsidies and other sources of student aid programs being utilized by fire safety personnel.

(e) A copy of the Organizational Design for Statewide Fire Education and Training, meeting the criteria described in these guidelines.

2. Existing Situation

This section will present an accurate and up-to-date description of fire education and training programs currently active in the state.

This constitutes a comprehensive "where we are" statement. It should cover the following:

(a) *The level and scope of non-degree entry training for fire service personnel throughout the state:*

- (i) How is basic training being provided: By individual departments? By region? By state? By others?
- (ii) What are the minimum basic training requirements for the various levels of fire safety personnel (fire fighters, public education specialists, inspectors, investigators, etc.)
- (iii) Are there statewide standards in this area? Are they mandatory or voluntary? Whom do they apply to? Are standards being adequately met throughout the state? Who adopts them?
- (iv) What kind of post-training testing or evaluation of trained personnel is being done?
- (v) Is there a statewide system of certification or accreditation?

(b) *The level and scope of non-degree in-service training for fire service personnel throughout the state*—Address the same questions asked above on the status of non-degree entry training.

(c) *Educational Offerings for Fire Service Personnel*—Describe the course offerings for credit and degree programs directly related to fire administration or fire technology currently being offered throughout the state at university, college, junior college and community college levels. How many fire personnel annually enroll in these various courses? How many graduates?

(d) *Fire Related Education for Others*—Describe generally what other fire-related training and/or education programs, whether for credit or not, are currently available for other than fire safety personnel such as architects, city planners, building inspectors, code officials, interior decorators, public safety and health officials.

(e) *National Priority Programs*—Describe the current status of education and training programs being provided throughout the state in the following program areas:

- (i) Public Education
- (ii) Administration and Management of Fire Services
- (iii) Inspection, Code Enforcement
- (iv) Building Design
- (v) Fire and Arson Investigation
- (vi) Fire Protection and Master Planning
- (vii) Data Collection and Analysis

3. Priority Statements

This will constitute a comprehensive "where we want to go" statement. For this section, think ahead. Think ahead 5 years from now. Think of the fire personnel currently active within the state—full-time paid persons and volunteers—think of the new personnel who will be entering the fire profession and the professionals who will move into new positions of responsibility. Think of the current levels and qualities of education and training currently being provided by the different agencies and organizations within the state at all levels—recruit, in-service, specialized and educational—and then formulate, as clearly and as realistically as is possible, priority statements for improving statewide fire training and education.

(a) Identify current and future fire education and training needs, evaluate their relative importance and establish priorities for meeting these needs.

(b) Determine what minimum levels of education and training should be provided to meet priority needs at all levels—recruit, in-service, specialized and educational—for all fire safety personnel, consistent with their responsibilities.

(c) State what new or improved educational and/or training programs are most urgently needed throughout the state.

(d) Establish specific long range (5-year) goals reflecting these priorities.

The priorities and goals stated in this section should avoid two extremes. If priority needs and goals are stated too broadly or too generally, they will lack focus and specific direction. They may sound nice; but will not guide subsequent action. If, on the other hand, the priority needs and goals are too narrow or stated in too much detail, the result will be such a long and involved listing of needs and desires that the priority statements will not serve as a unifying and directional guide for subsequent planning and implementation.

4. Development Strategy

At this point in the planning process, those involved in developing the plan will have at their disposal an accurate picture of the existing situation and clear statements of the most important improvements and advancements needed in the state over a 5-year period. The development strategy, or action plan, lays out the various steps that need to be taken and the tasks that need to be accomplished if these goals are to be successfully reached. This constitutes a comprehensive "how we plan to get there" statement.

This process generally requires that the planners develop several major program areas designed to address priority needs and major goals. Individual program areas may be only indirectly related to one another, but all major program areas should be directly related to priority needs and goals set forth earlier in the planning process.

For each major program area, the following information should be supplied:

(a) What are the principal objectives of the program area?

(b) What improvements will result from the full implementation of the program?

(c) How many fire service personnel or other professionals will directly benefit from the program?

(d) Who—what agencies or persons—will be responsible for the various phases of the program area?

(e) When will activities in the program area begin? When will they be fully operational?

(f) Between the start-up stage and the fully operational stage, list major accomplishments or major tasks to be performed on a year-by-year basis.

(g) What new costs, personnel requirements, legislation, and cooperative agreements will be needed to successfully implement the major activities in the program area?

(h) How, and to what extent, will the program be evaluated as to how well it meets the needs? How will evaluation findings be used to modify or update the plan?

(i) The anticipated time and cost requirements for each major program should be summarized, using appropriate charts to reflect year-by-year development and/or maintenance cost estimates for the 5-year period.

(j) What legislation, new organizational structure and/or cooperative agreements are most urgently needed to foster improved fire education and training throughout the state?

5. Relationship with Other Fire Programs

Throughout this project, it should be remembered that the development, coordination and delivery of training and education programs are only part of a well-balanced state fire prevention and control effort. States also provide other fire prevention and control services, such as data collection and analysis, promulgation and enforcement of fire safety regulations and fire and arson investigation services. It is anticipated that states would eventually desire to develop comprehensive fire master plans which identify needs and priorities in addition to education and training and which combine all state fire prevention and control efforts into an integrated plan of action. As is true with the education and training plan, the master plan should be developed on a participative basis with advice received from interested agencies and organizations.

At the conclusion of the statewide education and training planning process, the grantee should summarize any findings which pertain to the interface between the state education and training programs and other state fire programs. The preservation of this information could be helpful to future efforts in developing more comprehensive plans for well-balanced and responsive state services.

V. GRANT APPLICATION

A. GENERAL INSTRUCTIONS

Those states wishing to participate in the Academy Planning Assistance Program shall submit a written application to:

National Fire Prevention and Control Administration
Attn: Office of Administration
P. O. Box 19518
Washington, D.C. 20036
Telephone Number: (202) 634-7541

self explanatory. And Section E requires only one figure: the total federal amount requested for the project on Line 16 under column (b) First.

PART IV—PROGRAM NARRATIVE (Standard Form 424(10–75)). The informational requests on Standard Form 424(10–75) are designed more for action projects than for planning programs. The applicant should feel free to adjust the program narrative accordingly.

(1) *Objectives*—At least one of the stated objectives must be: To develop and produce a comprehensive and representative statewide fire education and training plan.

(2) *Benefits or Results Expected*—This will vary from state to state, but should be generally consistent with the purposes and objectives outlined in these guidelines.

(3) *Approach*—Describe what will be done, by whom and in what manner in order to develop and produce a statewide fire education and training plan that is comprehensive and representative.

The following shall be included in the approach section:

a. A statement describing the composition, the role and general responsibilities of the planning entity and/or advisory group designated to oversee the development and production of the Statewide Fire Education and Training Plan.
b. A detailed delineation of what will be done, by whom and on what time-table—using appropriate charts to summarize major activities, tasks, milestones and target dates—to produce a statewide fire education and training plan as described earlier (pages 3–5).
c. A budget narrative which describes how grant funds will be used to develop and produce a statewide fire education and training plan. The budget narrative should provide an explanation and justification of the cost estimates used in the budget. Estimated costs and expenditure rates should be summarized, finally, on the work chart that follows. Totals should be consistent with figures entered on PART II of the application form.

ESTIMATED PROJECT EXPENDITURES BY CATEGORY/QUARTER					
	Project year by quarter~				
Category	1st	2nd	3rd	4th	TOTAL
Personnel					
Fringe benefits					
Travel					
Equipment					
Supplies					
Contractual					
Other					
Indirect charges					
TOTAL					

d. As an appendix to the program narrative, should be added statements or letters of cooperation from representatives of appropriate organizations expected to participate in or be affected by the development and production of a statewide fire education and training plan.

(4) Finally, the applicant must agree to supply the National Fire Prevention and Control Administration with ten (10) copies of the Statewide Fire Education and Training Plan, when completed.

VI. GRANT EVALUATION

The National Fire Prevention and Control Administration, as the granting agency, has the responsibility for ensuring that federal funds are properly utilized toward meeting the objectives of each grant. To carry out this responsibility each grant awarded will be monitored and evaluated throughout the grant period. The scope of the evaluation process will vary depending upon the complexity of each individual grant and the capabilities of each grantee. Periodic written progress reports, onsite reviews and approval of preliminary final grant products are representative of the evaluation that will be conducted.

OMB Approval No. 29-R0218

FEDERAL ASSISTANCE

1. TYPE OF ACTION (Mark appropriate box)
- ☐ PREAPPLICATION
- ☐ APPLICATION
- ☐ NOTIFICATION OF INTENT (Opt.)
- ☐ REPORT OF FEDERAL ACTION

2. APPLICANT'S APPLICATION — a. NUMBER — b. DATE Year month day 19

Leave Blank

3. STATE APPLICATION IDENTIFIER — a. NUMBER — b. DATE ASSIGNED Year month day 19

SECTION I—APPLICANT/RECIPIENT DATA

4. LEGAL APPLICANT/RECIPIENT
- a. Applicant Name :
- b. Organization Unit :
- c. Street/P.O. Box :
- d. City :
- e. County :
- f. State :
- g. ZIP Code:
- h. Contact Person (Name & telephone No.) :

5. FEDERAL EMPLOYER IDENTIFICATION NO.

6. PROGRAM (From Federal Catalog) — a. NUMBER — b. TITLE

7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT

8. TYPE OF APPLICANT/RECIPIENT
- A–State
- B–Interstate
- C–Substate District
- D–County
- E–City
- F–School District
- G–Special Purpose District
- H–Community Action Agency
- I–Higher Educational Institution
- J–Indian Tribe
- K–Other (Specify):

Enter appropriate letter ☐

9. TYPE OF ASSISTANCE
- A–Basic Grant
- B–Supplemental Grant
- C–Loan
- D–Insurance
- E–Other

Enter appropriate letter(s) ☐☐

10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.)

11. ESTIMATED NUMBER OF PERSONS BENEFITING

12. TYPE OF APPLICATION
- A–New
- B–Renewal
- C–Revision
- D–Continuation
- E–Augmentation

Enter appropriate letter ☐

13. PROPOSED FUNDING

a. FEDERAL	$	.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. TOTAL	$	.00

14. CONGRESSIONAL DISTRICTS OF: a. APPLICANT — b. PROJECT

15. TYPE OF CHANGE (For 12c or 12e)
- A–Increase Dollars
- B–Decrease Dollars
- C–Increase Duration
- D–Decrease Duration
- E–Cancellation
- F–Other (Specify):

Enter appropriate letter(s) ☐☐☐

16. PROJECT START DATE Year month day 19

17. PROJECT DURATION Months

18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY ▶ Year month day 19

19. EXISTING FEDERAL IDENTIFICATION NUMBER

20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code)

21. REMARKS ADDED ☐ Yes ☐ No

SECTION II—CERTIFICATION

22. THE APPLICANT CERTIFIES THAT ▶

a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.

b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached:

	No response	Response attached
(1)	☐	☐
(2)	☐	☐
(3)	☐	☐

23. CERTIFYING REPRESENTATIVE — a. TYPED NAME AND TITLE — b. SIGNATURE — c. DATE SIGNED Year month day 19

SECTION III—FEDERAL AGENCY ACTION

24. AGENCY NAME

25. APPLICATION RECEIVED Year month day 19

26. ORGANIZATIONAL UNIT

27. ADMINISTRATIVE OFFICE

28. FEDERAL APPLICATION IDENTIFICATION

29. ADDRESS

30. FEDERAL GRANT IDENTIFICATION

31. ACTION TAKEN
- ☐ a. AWARDED
- ☐ b. REJECTED
- ☐ c. RETURNED FOR AMENDMENT
- ☐ d. DEFERRED
- ☐ e. WITHDRAWN

32. FUNDING

a. FEDERAL	$	.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. TOTAL	$	.00

33. ACTION DATE ▶ Year month day 19

34. STARTING DATE Year month day 19

35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)

36. ENDING DATE Year month day 19

37. REMARKS ADDED ☐ Yes ☐ No

38. FEDERAL AGENCY A-95 ACTION

a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.

b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)

STANDARD FORM 424 PAGE 1 (10-75)
Prescribed by GSA, Federal Management Circular 74-7

Exhibit M-3. Application for Federal Assistance (Nonconstruction Programs)

SECTION IV–REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

STANDARD FORM 424 PAGE 2 (10–75)

Exhibit M–3. Application for Federal Assistance (Nonconstruction Programs)
(Page 2 of 12)

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74–7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A–95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

Item

1. Mark appropriate box. Pre-application and application guidance is in FMC 74–7 and Federal agency program instructions. Notification of intent guidance is in Circular A–95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box.

2a. Applicant's own control number, if desired.

2b. Date Section I is prepared.

3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A–95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse.

3b. Date applicant notified of clearinghouse identifier.

4a–4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.

5. Employer identification number of applicant as assigned by Internal Revenue Service.

6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.

6b. Program title from Federal Catalog. Abbreviate if necessary.

7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.

8. Mostly self-explanatory. "City" includes town, township or other municipality.

9. Check the type(s) of assistance requested. The definitions of the terms are:

   A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.

   B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).

   C. Loan. Self explanatory.

Item

   D. Insurance. Self explanatory.

   E. Other. Explain on remarks page.

10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.

11. Estimated number of persons directly benefiting from project.

12. Use appropriate code letter. Definitions are:

   A. New. A submittal for the first time for a new project.

   B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.

   C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).

   D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.

   E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.

13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks.

14a. Self explanatory.

14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."

15. Complete only for revisions (item 12c), or augmentations (item 12e).

STANDARD FORM 424 PAGE 3 (10–75)

Item

16. Approximate date project expected to begin (usually associated with estimated date of availability of funding).

17. Estimated number of months to complete project after Federal funds are available.

18. Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b.

Item

19. Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".

20. Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.

21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

Item

22b. List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached.

23a. Name and title of authorized representative of legal applicant.

Item

23b. Self explanatory.

23c. Self explanatory.

Note: Applicant completes only Sections I and II. Section III is completed by Federal agencies.

FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

Item

24. Executive department or independent agency having program administration responsibility.

25. Self explanatory.

26. Primary organizational unit below department level having direct program management responsibility.

27. Office directly monitoring the program.

28. Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice.

29. Complete address of administering office shown in item 26.

30. Use to identify award actions where different from Federal application identifier in item 28.

31. Self explanatory. Use remarks section to amplify where appropriate.

32. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks.

33. Date action was taken on this request.

34. Date funds will become available.

Item

35. Name and telephone no. of agency person who can provide more information regarding this assistance.

36. Date after which funds will no longer be available.

37. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.

38. For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—If same as person shown in item 35, write "same". If not applicable, write "NA".

Federal Agency Procedures—special considerations

A. *Treasury Circular 1082 compliance.* Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.

B. *OMB Circular A-95 compliance.* Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and areawide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.

C. *Special note.* In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

STANDARD FORM 424 PAGE 4 (10-75)

Exhibit M-3. Application for Federal Assistance (Nonconstruction Programs)

(Page 4 of 12)

OMB Approval No. 29-R0218

PART II

PROJECT APPROVAL INFORMATION

Item 1. Does this assistance request require State, local, regional, or other priority rating? ____ Yes ____ No	Name of Governing Body ____ Priority Rating ____
Item 2. Does this assistance request require State, or local advisory, educational or health clearances? ____ Yes ____ No	Name of Agency or Board ____ (Attach Documentation)
Item 3. Does this assistance request require clearinghouse review in accordance with OMB Circular A-95? ____ Yes ____ No	(Attach Comments)
Item 4. Does this assistance request require State, local, regional or other planning approval? ____ Yes ____ No	Name of Approving Agency ____ Date ____
Item 5. Is the proposed project covered by an approved comprehensive plan? ____ Yes ____ No	Check one: State ☐ Local ☐ Regional ☐ Location of Plan ____
Item 6. Will the assistance requested serve a Federal installation? ____ Yes ____ No	Name of Federal Installation ____ Federal Population benefiting from Project ____
Item 7. Will the assistance requested be on Federal land or installation? ____ Yes ____ No	Name of Federal Installation ____ Location of Federal Land ____ Percent of Project ____
Item 8. Will the assistance requested have an impact or effect on the environment? ____ Yes ____ No	See instructions for additional information to be provided.
Item 9. Will the assistance requested cause the displacement of individuals, families, businesses, or farms? ____ Yes ____ No	Number of: Individuals ____ Families ____ Businesses ____ Farms ____
Item 10. Is there other related assistance on this project previous, pending, or anticipated? ____ Yes ____ No	See instructions for additional information to be provided.

Exhibit M-3. Application for Federal Assistance (Nonconstruction Programs)

INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 – Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 – Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 – Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 – Furnish the name of the approving agency and the approval date.

Item 5 – Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 – Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 – Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 – Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 – State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 – Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

OMB Approval No. 29-R0218

PART III – BUDGET INFORMATION

SECTION A – BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B – BUDGET CATEGORIES

6. Object Class Categories	– Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	$	$	$	$	$
7. Program Income	$	$	$	$	$

Exhibit M–3. Application for Federal Assistance (Nonconstruction Programs)
(Page 7 of 12)

INSTRUCTIONS

PART III

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary
Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 – Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h – Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i – Show the totals of Lines 6a to 6h in each column.

Line 6j – Show the amount of indirect cost. Refer to FMC 74-4.

Line 6k – Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 – Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

OMB Approval No. 29-R0218

SECTION C – NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTALS	$	$	$	$

SECTION D – FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Non-Federal					
15. TOTAL	$	$	$	$	$

SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	e) FOURTH
16.	$	$	$	$
17.				
18.				
19.				
20. TOTALS	$	$	$	$

SECTION F – OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

PART IV PROGRAM NARRATIVE (Attach per instruction)

Exhibit M–3. Application for Federal Assistance (Nonconstruction Programs)

INSTRUCTIONS

PART III
(continued)

Section C. Source of Non-Federal Resources

Line 8-11 — Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, FMC 74-7.

Column (a) — Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) — Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, FMC 74-7.

Column (c) — Enter the State contribution if the applicant is *not* a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) — Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) — Enter totals of Columns (b), (c), and (d).

Line 12 — Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 — Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 — Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 — Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 — Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

Line 20 — Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F — Other Budget Information.

Line 21 — Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 — Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 — Provide any other explanations required herein or any other comments deemed necessary.

INSTRUCTIONS

PART IV
PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.

b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to FMC 74-7, explain and justify the change and its effect on the project.

c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

PART V

ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements, including OMB Circular No. A-95 and FMCs 74-4 and 74-7, as they relate to the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with FMC 74-7.